

**National Institutes of Health Performance Contract (Supv/Managerial)**  
**PART I: Identifying Information**

<b>A. Employee's Name:</b> Suzanne J. Servis	<b>D. Rater's Name:</b> Colleen Barros
<b>B. Position Title, Series, and Grade:</b> Director, Office of Management Assessment	<b>E. Rater's Title:</b> Deputy Director for Management, OM
	<b>F. Reviewer's Name:</b> Dr. Raynard Kington
<b>C. Organizational Location:</b> Office of Management, OD	<b>G. Reviewer's Title:</b> Deputy Director, NIH

**PART II: Signatures and Dates**

	<b>Plan Establishment*</b>	<b>Progress Review</b>	<b>Rating*</b>
<b>Rater's Signature</b>			
<b>Date</b>			
<b>Reviewer's Signature Date</b>	(as required)	<b>NOT APPLICABLE</b>	(as required)
<b>Employee's Signature* Date</b>			

\*Employee's signature indicates that a copy has been received.

**PART III: Evaluation**

<b>Appraisal Period:</b> From: <i>Jan. 2005</i> To: <i>Dec. 31, 2005</i>	<b>The rating is (check one):</b> <input type="checkbox"/> Rating of Record <input type="checkbox"/> Interim Rating
This performance plan consists of _____ n/a _____ elements.	<b>Rating (check one):</b> <input type="checkbox"/> Acceptable (rated Acceptable on all critical elements) <input type="checkbox"/> Unacceptable (rated Unacceptable on one or more critical elements)



# FY 2005 Performance Contract

*Suzanne J. Servis, Director, OMA*

**Mission:** The National Institutes of Health uncovers new knowledge about the prevention, detection, diagnosis, and treatment of disease and disability. NIH works towards this mission by conducting and supporting research, training research investigators, and fostering communication of medical information.

**Through this Performance Contract, I hereby commit to clear and measurable goals to be achieved during FY 2005 and beyond:**

## ***“One HHS” End-Outcome Goals NIH Contributes To:***

1. Emphasize preventive health measures (Preventing Disease and Illness)
2. Prepare for and effectively respond to bio-terrorism and other public health emergencies (Protecting our Homeland)
3. Improve health outcomes (Preventing Disease and Illness)
4. Improve the quality of health care ( 21<sup>st</sup> Century Health Care)
5. Advance science and medical research (Improving Health Science)

## ***Intermediate Outcomes I Pledge to Achieve During 2005:***

### **Results-Oriented Management**

- Enhance OMA organizational performance through the implementation of results-oriented programs.
- Increase use of performance contracts and plans to better align activities with the mission of OMA and NIH.

### **Strategic Human Capital Management**

- Support development of new HHS performance appraisal system.

### **Consolidate Mgt Functions & Administrative Efficiencies**

- Support and coordinate activities that lead to implementation of ARAC recommendations and other consolidations.

### **Competitive Sourcing Program**

- Lead the implementation of the FAIR Act/
- A-76 methodology to comply with the Department's "Green" plan.

### **Conduct Program Evaluations and Identify Strategies for Resolving Deficiencies**

- Develop a systemic approach for identifying and resolving program risks and vulnerabilities.

## ***Program Outputs Needed for 2005 to Achieve Expected Results***

*The very specific, measurable activities that influence and permit achievement of intermediate and end outcomes; seen as tabulations, calculations, and efforts recorded.*

### **Results-Oriented Management**

**Acceptable \_\_\_\_ Unacceptable \_\_\_\_**

- Establish individual employee performance contracts and plans that will hold subordinate managers and their staffs accountable for achieving measurable goals.
- Continue to refine and apply performance measures to all OMA functions.
- Develop a plan for restructuring OMA to better align resources with mission requirements.
- Reduce the backlog of cases in the Division of Program Integrity by 5%.
- Implement consolidated and modernized OMA databases for tracking and measuring workflow and program results.
- Ensure that staff is made knowledgeable of key performance objectives set forth in the FY05 budget and the NIH GPRA Plan.

### **Implement Strategic Human Capital**

**Acceptable \_\_\_\_ Unacceptable \_\_\_\_**

- Continue to refine and apply performance standards to all OMA staff.

### **Consolidate Management Functions and Achieve Administrative Efficiencies**

**Acceptable \_\_\_\_ Unacceptable \_\_\_\_**

- Consolidate the Scientific Review and Evaluation Awards (SREA) function into the Center for Scientific Review.
- Through the Administrative Restructuring Advisory Committee (ARAC) framework, facilitate development of specific measures and reports that provide quantitative and evaluative information for Service Level Agreements.
- Complete implementation of the Classification Security Officer function for the management of classified national security information at NIH.
- Complete the pilot test and implement the NIH Delegations of Authority database.

**Competitive Sourcing****Acceptable** \_\_\_\_ **Unacceptable** \_\_\_\_

- Meet the OMB mandated “Green” Standards for Success.
- Submit a complete FAIR Act Inventory and Reason Code A justifications to ASAM/OCS by April 29, 2005.
- Complete the FY 2005 Competitive Sourcing Plan.

**Conduct Program Evaluations and Identify Strategies for Resolving Any Deficiencies****Acceptable** \_\_\_\_ **Unacceptable** \_\_\_\_

- Develop a systemic approach for identifying and resolving program risks and vulnerabilities in NIH’s administrative services.

## ***Management Improvement Initiatives***

*The inherent management responsibilities; see "One HHS" Department-Wide Management Objectives*

1. Implement Results-Oriented Management
  - Create meaningful, results-oriented performance contracts for all employees.
  - Establish long-term outcome goals and annual targets, and report progress in achieving goals and targets in the annual performance budget.
  - Increase program performance.
2. Implement Strategic Human Capital Management
  - Support development of a single Departmental performance appraisal system for managers.
4. Complete the FY2005 Competitive Sourcing Program
  - Meet the OMB mandated "Green" Standards for Success
  - Submit a complete FAIR Act Inventory and Reason Code A justifications to ASAM/OCS by April 29, 2005.
  - Complete the FY 2005 Competitive Sourcing Plan.
6. Consolidate Management Functions and Achieve Administrative Efficiencies
  - Support initiatives to increase the number of service consolidations and/or shared service initiatives within NIH.
  - Develop specific measures and reports that provide quantitative and evaluative information for Service Level Agreements.
10. Conduct Program Evaluations and Identify Strategies for Resolving Any Deficiencies
  - Develop a systemic approach for identifying risks or vulnerabilities that could be detrimental to the effectiveness and results of NIH administrative services.

**See Attached for these critical elements:**

**Support EEO, Civil Rights, and Diversity Programs**

**Support Recovery of Improper Payments**

**Support Ethics Requirements**

**EEO CRITICAL ELEMENT**  
**GM/GS/WS CODE 2 - MANAGERS AND SUPERVISORS**  
**PROMOTING EQUAL EMPLOYMENT OPPORTUNITY (EEO) AND WORK FORCE**  
**DIVERSITY PROGRAMS**

**Critical Element:**

Through both personal leadership and appropriate managerial actions, management officials shall proactively support and promote Departmental and NIH EEO and Work Force Diversity Programs designed to achieve the following:

**Performance Standards:**

1. Addresses EEO Complaints and employee issues in a timely and effective manner.

*Guidance: Describe the steps taken to ensure that IC EEO complaints are processed in strict accordance with the procedures set forth by EEOC, DHHS and the NIH (i.e., respond to complaints in a timely manner, demonstrate efforts to resolve complaints at the lowest level, monitor discrimination complaints to identify patterns of discrimination and initiate actions to correct these patterns, etc.). Attend and support EEO and Diversity training sessions for all staff, including sexual harassment. Describe efforts to ensure staff complies with EEO and Diversity Management policies.*

2. Supports and actively participates in the implementation of the IC's Affirmative Action Plans, programs and initiatives that address the under-representation of minorities, women and persons with disabilities.

*Guidance: Describe the size and diversity of your Office staff by race, gender, national origin and disability. Identify any goals you have set to improve the diversity of the work force and how these goals have been/are being accomplished. Identify special efforts made to monitor organizational accomplishments in maintaining a diverse work force and supporting the IC's Affirmative Employment Program. Discuss your role in focused recruitment efforts (i.e., Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), Tribal Colleges and Universities (TCUs), and Community-Based Organizations, etc.).*

*Describe the use of special hiring authorities to fill vacancies with qualified applicants from underrepresented groups.*

*Describe your efforts to assist the IC in meeting NIH's "Stretch Goals" to hire 945 new individuals with disabilities by 2005. NOTE: Hires are to be from outside the Federal Government.*

3. Provides equitable training and career development opportunities and performance awards for staff at all grade levels (examples – use of IDPs, equitable allocation of available training funds).

*Guidance: Describe the efforts or initiatives implemented to ensure the equitable development and recognition of staff at all levels (i.e., NIH Management Intern Program, STRIDE, COTA, etc.). Identify awards or changes in your work force that reflect the success of these initiatives.*

*Highlight the steps taken to remove any "barriers" that impede the accomplishment of this element.*

4. Establishes a fair and equitable work environment by encouraging the use of problem solving and alternate dispute resolution processes.

*Guidance: Describe efforts to encourage and support the development and use of alternative dispute resolution (ADR) in managing conflict within the workplace. Provide specific examples of successful ADR/workplace resolution techniques and strategies that have been effective. Highlight initiatives that have created an inclusive work environment in which employee concerns and ideas are utilized in problem solving, decision-making, and planning workplace activities and initiatives.*

5. Promotes a zero tolerance policy for harassment and discrimination.

*Guidance: Describe EEO, Diversity and workplace management initiatives developed to: ensure that the work environment is free from all forms of harassment and intolerance, including sexual harassment.*

6. Supports EEO and Work Force Diversity programs by providing leadership, allocating adequate staff, fiscal resources and supporting staff participation in these programs.

*Guidance: Consistent with workload requirements, describe the degree of support/resources for NIH wide educational efforts and IC EEO and Diversity programs. Describe any initiatives, Memorandum of Understandings or collaborations with other agencies or ICs that support EEO Program goals. Support NIH-wide Special Emphasis Programs by attending and encouraging staff to attend/participate.*

7. Responds to requests for reasonable accommodations from persons with disabilities in accordance with Federal laws, regulations and NIH policies.

*Guidance: Discuss in detail, the number and types of reasonable accommodations if requested and how they were addressed. Highlight any policies or procedures developed and implemented to address requests in a timely basis.*

## **CRITICAL ELEMENT**

### **RECOVERING IMPROPER PAYMENTS**

**Identify and address weaknesses in grant system(s), procurement systems, and finance offices to ensure recovery of improper payments and to reduce the number of improper payments made by the Department.**

## ***CRITICAL ELEMENT ETHICS FOR SUPERVISORS***

Actively promote awareness and enforce strict adherence to ethics and standards of conduct statutes, regulations, policies, and procedures through:

- Ensuring all employees are trained, as they apply, on the statutes and regulations governing conflict of interest, standards of conduct, outside activity prior approval process, representational activities, salary supplementation, post-employment, political activity, awards, honorary degrees, prohibited gifts, impartiality, and related ethics provisions, and their responsibility for compliance.
- Reviewing requests and information submitted by employees to determine real, apparent, or potential conflict of interest. Consults IC Deputy Ethics Counselor(s) and other appropriate resources as needed.
- Ensuring employees comply with cash or in-kind travel reimbursement authorities and procurement integrity ethics provisions.
- Ensuring employees submit forms and information in a timely matter to IC Deputy Ethics Counselor(s) and that, where needed, approval is obtained prior to engaging in the activity.
- Ensuring that employees who violate statute, regulation, policy, or guidance receive appropriate discipline.

I hereby commit to achieve these goals and hold my employees and myself accountable for developing and implementing the necessary initiatives to produce these results.

Signed: \_\_\_\_\_  
Suzanne J. Servis

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